

# SESLHD PROCEDURE COVER SHEET



**Health**  
South Eastern Sydney  
Local Health District

<b>NAME OF DOCUMENT</b>	Appointment of Honorary Research Associate
<b>TYPE OF DOCUMENT</b>	Procedure
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<b>EXECUTIVE SPONSOR or EXECUTIVE CLINICAL SPONSOR</b>	Director Clinical Governance and Medical Services
<b>AUTHOR</b>	Deborah Adrian Manager, Research Support Office
<b>POSITION RESPONSIBLE FOR THE DOCUMENT</b>	Deborah Adrian Manager, Research Support Office <a href="mailto:deborah.adrian@health.nsw.gov.au">deborah.adrian@health.nsw.gov.au</a>
<b>KEY TERMS</b>	Honorary appointments, research, post-graduate research students
<b>SUMMARY</b>	This document outlines the procedures to be followed when persons, including post-graduate research students, who are not employed by SESLHD seek approval to conduct research that involves access to patients or patient data for whom SESLHD is responsible.  SESLHD has separate procedures for the clinical placement of students as set out in the NSW Ministry of Health document – <i>Student Placement Agreement for Entry into a Health Occupation</i> .

## **COMPLIANCE WITH THIS DOCUMENT IS MANDATORY**

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**1. POLICY STATEMENT**

SESLHD recognises the potential benefits in undertaking research in collaboration with persons who are not employed by SESLHD. Such persons bring special expertise, skills and knowledge which enable or enhance the outcomes of research in order to deliver improved health outcomes.

SESLHD will consider applications for an appointment as an Honorary Research Associate from persons who are not employed by SESLHD and are either (i) collaborating with an SESLHD clinician or employee as part of a research project for which purpose they require access to patients or patient data (ii) seeking access to patients or patient data for whom SESLHD is responsible as part of a research project which otherwise does not involve SESLHD clinicians or (iii) are a post-graduate student involved in clinical research.

This appointment will allow access to patients or patient data for specified purposes and conditional upon appropriate ethical and governance approvals.

This procedure describes the appointment of Honorary Research Associates. It includes the requirement for appropriate employment screening and addresses the obligations of the SESLHD in the governance of research as detailed in [NSW Ministry of Health Policy Directive 'Research – Authorisation to Commence Human Research in NSW Public Health Organisations' PD2010\\_056](#) and [NSW Ministry of Health 'Research Governance in NSW Public Health Organisations' GL2011\\_001](#).

**2. BACKGROUND**

There is no specific policy addressing this issue but a 2011 ICAC Report, *Investigation into Corrupt Conduct Involving Alleged Fraud on Two Sydney Hospitals*, identified the need for the introduction of these procedures.

**3. RESPONSIBILITIES**

A person who is not an employee of SESLHD and who wishes to access patient areas on SESLHD sites to conduct research that involves patients for whom SESLHD is responsible or who has been invited to do so by a SESLHD staff member should initially discuss the proposed appointment with the relevant Senior Manager (Head of Department or Senior Nurse or Allied Health Manager).

**3.1 Employees will:** advise persons who are not employees of SESLHD who wish to undertake a research project which involves access to patients or patient data for whom SESLHD is responsible, that they will need to apply for an honorary appointment to SESLHD to do so.

**3.2 Line Managers will:** ensure SESLHD staff are aware of the requirements for honorary appointments for persons not employed by SESLHD who propose to undertake research which would involve patients or patient data for whom SESLHD is responsible.

- 3.3 Senior Managers (Heads of Department or Senior Nurse or Allied Health Manager) will:**
- Review applications for honorary appointments
  - If necessary, interview the applicant
  - Determine whether additional screening in relation to Child Protection legislation and Aged Care checks is required
  - Verify the professional registration of the applicant
  - If the research proposal involves an interdisciplinary team, seek the advice of relevant SESLHD staff.
- 3.4 The Research Support Office will:** receive and process applications and advise the relevant General Manager / Director of Operations as to the suitability of the applicant for appointment and relevant conditions of appointment.
- 3.5 Applicants who are registered medical practitioners will:** be appointed to conduct research through the procedures to appoint an Honorary Medical Officer.

#### **4. PROCEDURE**

##### **4.1 General:**

Persons who apply for appointment as an **Honorary Research Associate** will, depending on their role and responsibilities, require evidence of collaboration with or supervision by a SESLHD clinician or employee for the proposed research project.

Appointments will be for the duration of a proposed project which has received ethical approval from a Human Research Ethics Committee and be specifically for activities approved by SESLHD, that are undertaken as part of that project.

Applicants may seek an extension of their appointment for further projects and to do so will need to provide details of the proposed project and associated SESLHD clinician / employee.

These procedures also apply to a post-graduate research student who is undertaking research unless the research is being undertaken as part of an entry into a health-related occupation training course as set out in the [NSW Ministry of Health Information Bulletin 'NSW Health Student Placement Agreement \(SPA\) for Entry into a Health Occupation' IB2016\\_024](#)

Initial applications and applications for renewal or extension of appointments should be lodged through the SESLHD Research Support Office.

- 4.2** If, following discussions between the applicant, SESLHD Senior Manager (Head of Department or Senior Nurse or Allied Health Manager) and the SESLHD clinician / employee involved (either as a collaborator or a supervisor), it is agreed to pursue an

application for appointment to SESLHD as an Honorary Research Associate, an application should be lodged with the SESLHD Research Support Office.

The application should include:

- A completed application form detailing the proposed research activity, the role and responsibilities of the applicant and SESLHD clinician / employee, the agreement by SESLHD clinician / employee to act in collaboration with or to supervise the applicant in the proposed research project and the support of the relevant SESLHD Senior Manager (Head of Department or Senior Nurse or Allied Health Manager)
- A copy of the applicant's Curriculum Vitae highlighting relevant training and experience
- Certified copies of Qualifications and/or Registration
- Proof of Identification (100 point)
- Signed Criminal Record Check in accordance with [NSW Ministry of Health Policy Directive 'Employment Checks – Criminal Record checks and Working with Children Checks' PD2016\\_047](#)
- Working with Children Declaration (if required)
- Details of Immunisation status in accordance with [NSW Ministry of Health Policy Directive Occupational Assessment, Screening and Vaccination Against Specified Infectious Diseases PD2018\\_009](#)
- Evidence of indemnity and insurance cover relevant to proposed activities in accordance with [NSW Ministry of Health Policy Directive 'Clinical Trials – Insurance and Indemnity' PD2011\\_006](#)
- Signed Declaration of [NSW Ministry of Health Code of Conduct PD2015\\_049](#) (page 9).

- 4.3** In applying to be appointed as an **Honorary Research Associate**, the applicant signs an undertaking to comply with NSW Ministry of Health and SESLHD Policies and the specific requirements for authorisation to conduct research in SESLHD, the pursuant statutory requirements and the obligation to comply with the *National Statement on Ethical conduct in Human Research 2007 (updated 2018)* and the *Australian Code for the Responsible Conduct of Research (2018)*.
- 4.4** The Senior Manager (Head of Department or Senior Nurse or Allied Health Manager) will determine whether additional information is required including screening for Child and Aged Care related activities.
- 4.5** The SESLHD Research Support Office will review the application for completeness and submit the application to the relevant Director of Operations / General Manager for consideration and approval.
- 4.6** The SESLHD Research Support Office will advise the applicant of the outcome of their application.

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- 4.7 A copy of the letter of appointment will be forwarded to the relevant SESLHD Senior Manager (Head of Department or Senior Nurse or Allied Health Manager) and, if appropriate, the other relevant managers. Records will be retained by the SESLHD Research Support Office.
- 4.8 Appropriate security access authorisations and email and internet access will be approved by the Senior Manager (Head of Department or Senior Nurse or Allied Health Manager) once the offer of appointment has been formally accepted.
5. **TERMINATION**  
The appointment may be terminated by SESLHD for any substantiated instance of a breach by the Honorary Research Assistant of NSW Ministry of Health Policy Directives, SESLHD Policies, Procedures and Guidelines, legislative provisions, statutory requirements or clinical ethics.
6. **DOCUMENTATION**  
[Application for Appointment Form](#)  
Information Package
7. **AUDIT**  
The Director of Research to audit compliance with procedures as required.
8. **REFERENCES**
- [NHMRC National Statement on Ethical conduct in Human Research 2007 \(Updated 2018\)](#)
  - [NHMRC Australian Code for the Responsible Conduct of Research \(2018\)](#)
  - [NSW Ministry of Health Code of Conduct PD2015\\_049](#)
  - [NSW Ministry of Health Policy Directive 'Research – Authorisation to Commence Human Research in NSW Public Health Organisations' PD2010\\_056](#)
  - [NSW Ministry of Health 'Research Governance in NSW Public Health Organisations' GL2011\\_001](#)
  - [NSW Ministry of Health Policy Directive 'Employment Checks – Criminal Record checks and Working with Children Checks' PD2016\\_047](#)
  - [NSW Ministry of Health Information Bulletin 'NSW Health Student Placement Agreement \(SPA\) for Entry into a Health Occupation' IB2016\\_024](#)
  - [NSW Ministry of Health Policy Directive Occupational Assessment, Screening and Vaccination Against Specified Infectious Diseases PD2018\\_009](#)
  - [NSW Ministry of Health Policy Directive 'Clinical Trials – Insurance and Indemnity' PD2011\\_006](#)

**9. REVISION AND APPROVAL HISTORY**

<b>Date</b>	<b>Revision No.</b>	<b>Author and Approval</b>
Nov 2013	1	Professor Margaret Rose Manager Research Governance
Feb 2014	1	Approved by Clinical and Quality Council
Feb 2014	1	Re-formatted by Scarlette Acevedo, District Policy Officer
August 2018	2	Review undertaken by Deborah Adrian and approved by Executive Sponsor
August 2018	2	Processed by Executive Services prior to publishing – minor review
August 2020	3	Updated Executive Sponsor from District Director Medical Services to Director Clinical Governance and Medical Services. Approved by Executive Sponsor and published by Executive Services.